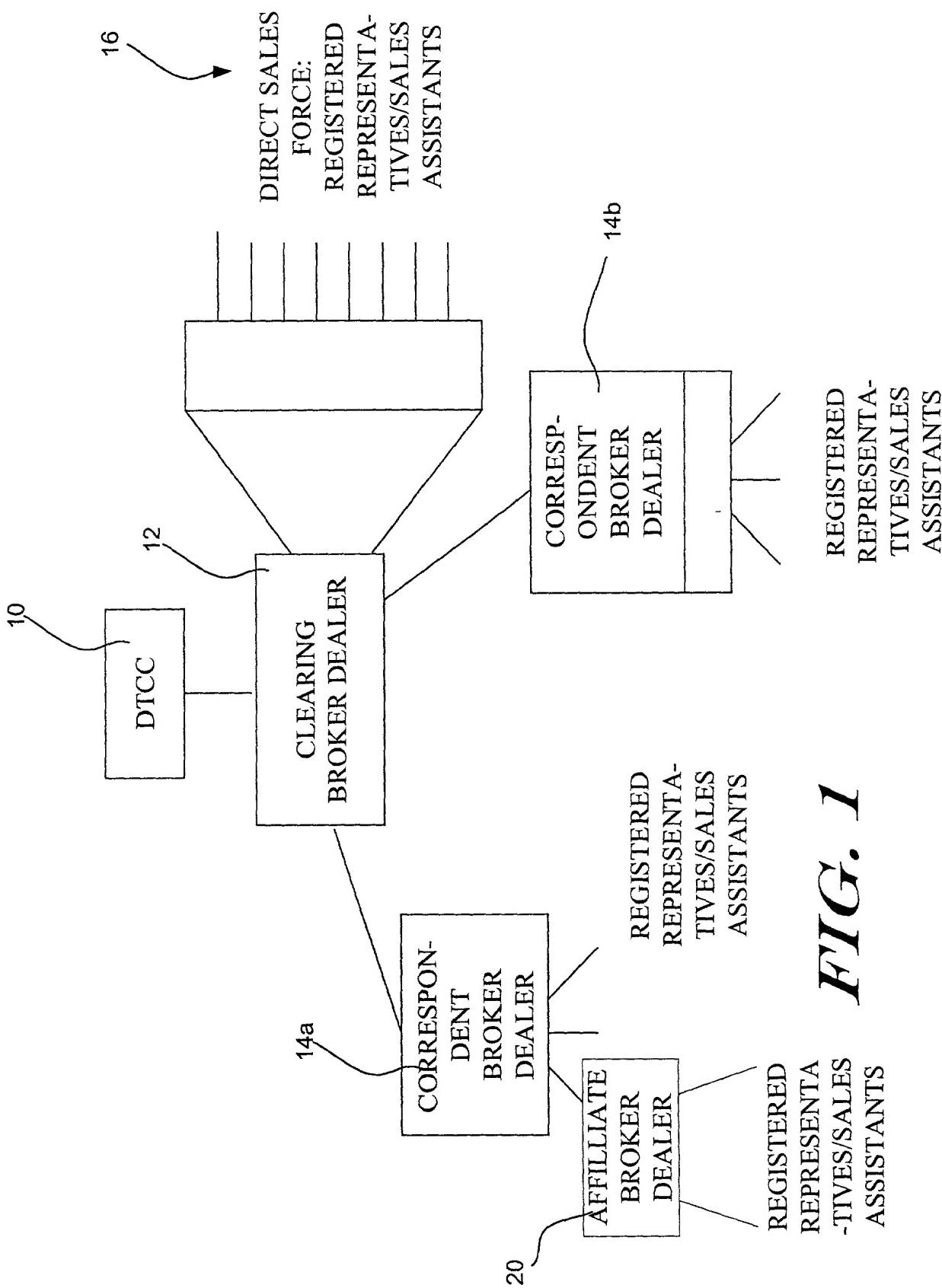


FIG. 1



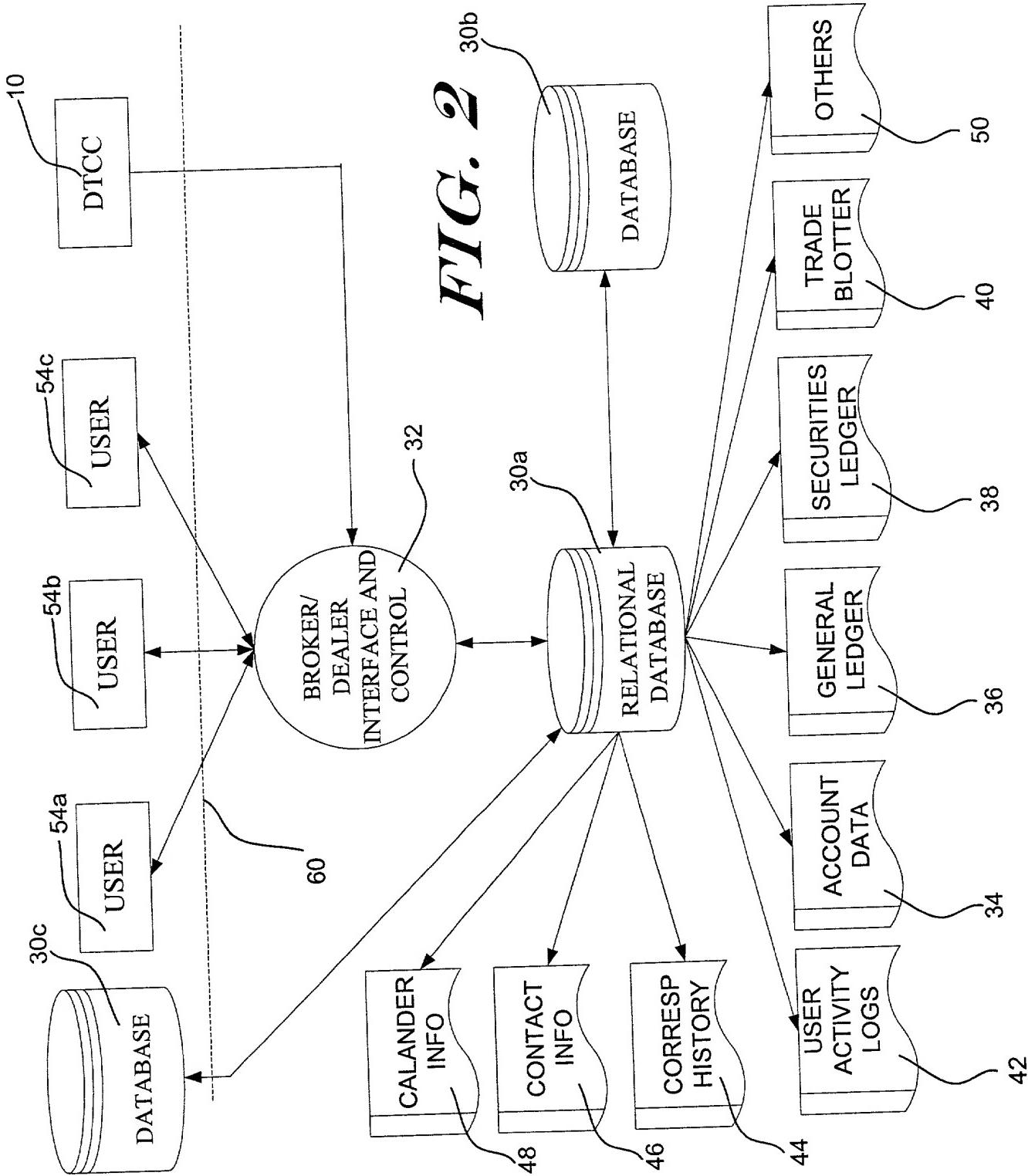
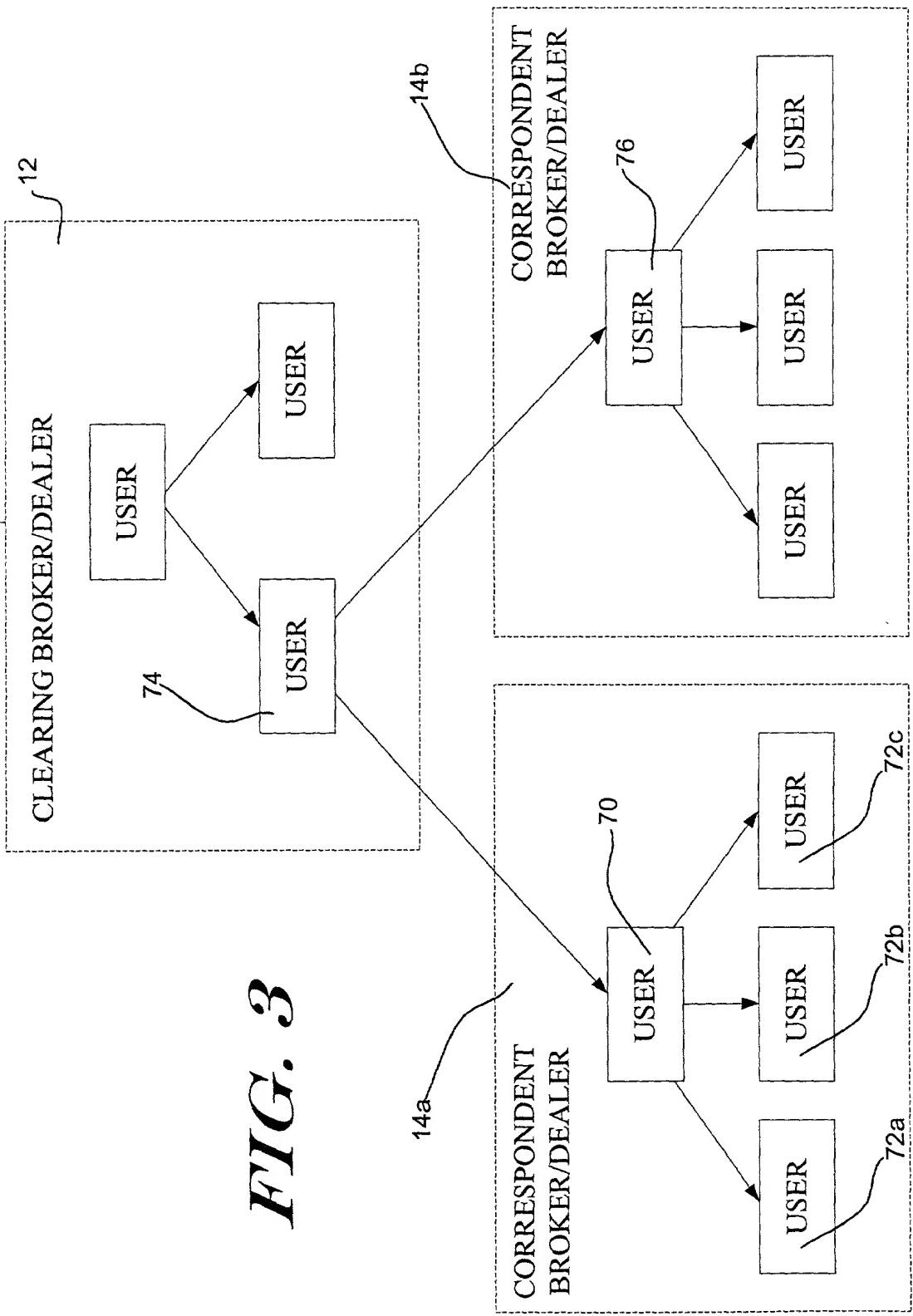


FIG. 3



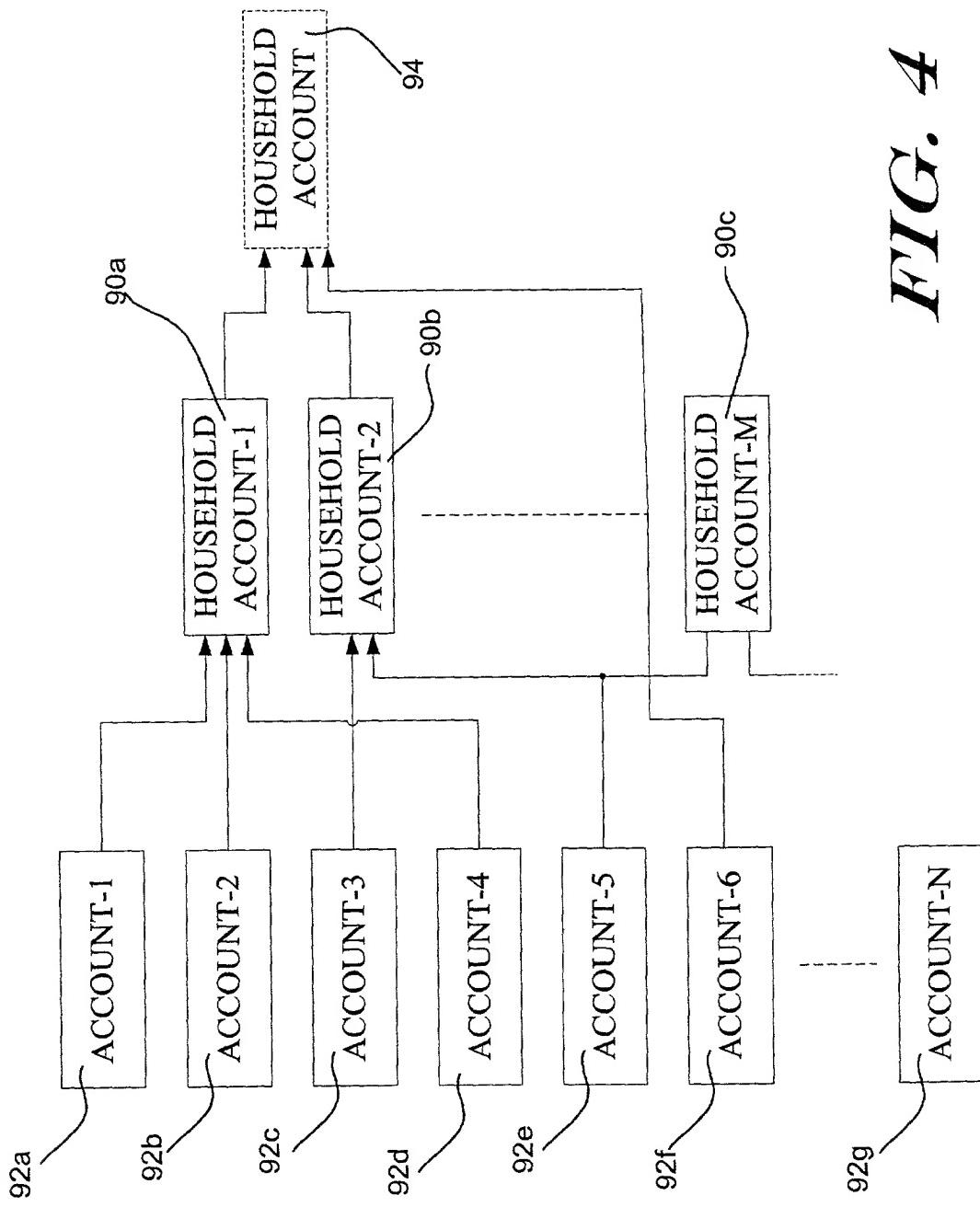
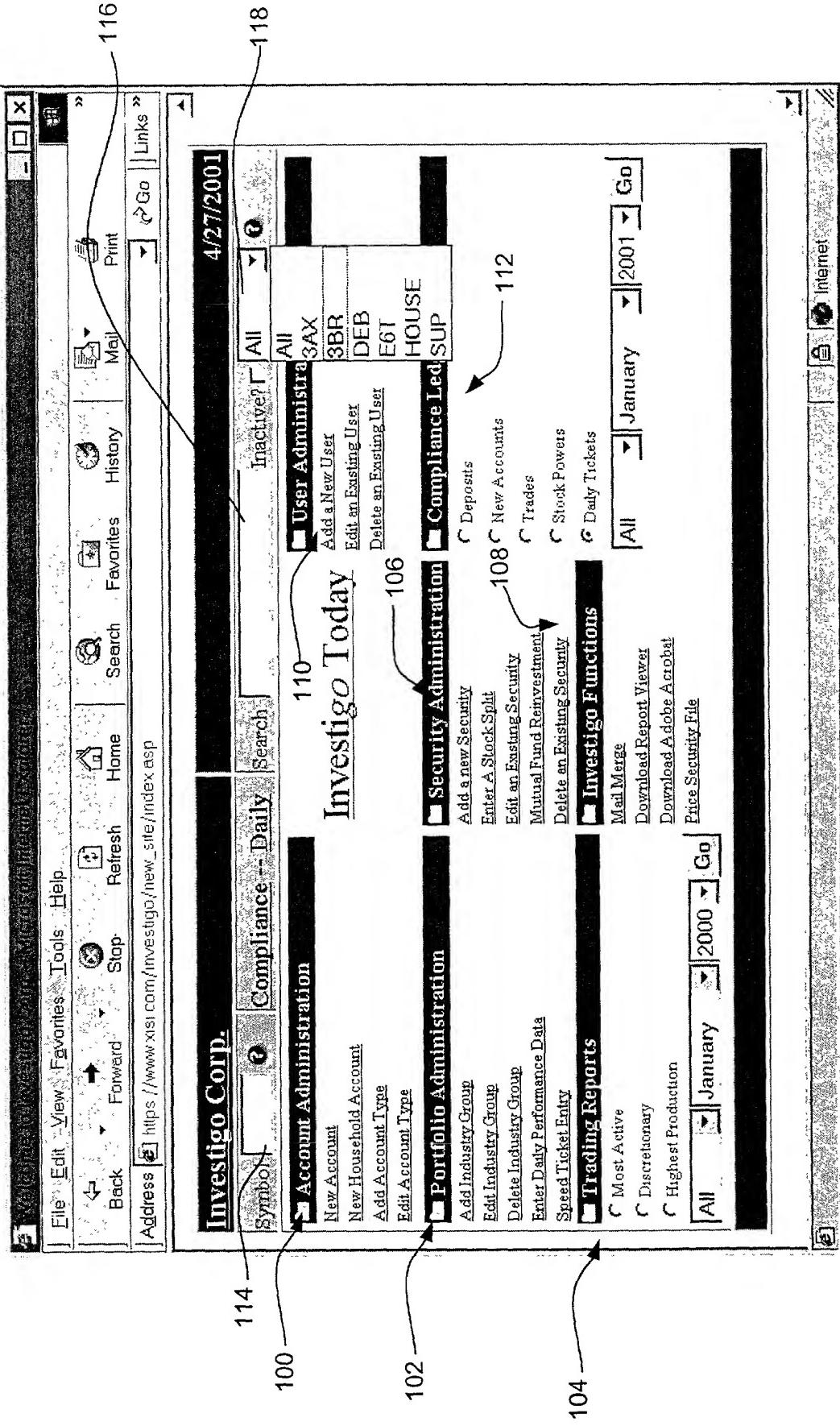


FIG. 4

FIG. 5



Investigo Corp.

- 10 Most active accounts for All Reps for the month ending 01/31/2000

<u>Account Number</u>	<u>Client Name</u>	<u>Account Type</u>	<u>SSN</u>
W636020323	Diane Glosson	Regular IRA	307-50-4245
W636019051	Richard Schreber	Regular IRA	305-38-3491
317-62-3670	Stanley Gamble	401(k)	317-62-3670
308-70-8613	Michael Saxman	401(k)	308-70-8613
385-82-2226	Mark Reilly	401(k)	385-82-2226
305-60-3130	Lee Humbert	401(k)	305-60-3130
312-82-2943	Henry Gilbert	401(k)	312-82-2943
315-72-9043	Kathy Lefever	401(k)	315-72-9043
60952972D	Stanley D. Gamble	401(k)	317-62-3670
60952996D	Mark L. Reilly	401(k)	385-82-2226

FIG. 6

Investigo Corp.

- 10 Most active accounts for Rep 3BR for the month ending 10/31/2000

<u>Account Number</u>	<u>Client Name</u>	<u>SSN</u>	<u>Account Type</u>
W636080590	David A. Story	303-52-5412	Regular IRA
FERG6	Scott Fergusson	401(k)	
W6322319364	Jeffrey L. Hinan	308-82-8501	JTWROS
W632014437	Mr. James E. Lauritsen	43-0497480	DVP
60688910	Carolyn E. Hem	307-46-5353	
64747090	Chelsey J. Coughlin	313-13-3668	UGMA
64747091	Bray J. Coughlin	310-19-2016	UGMA
FER5	Scott Fergusson	304-96-1037	Regular IRA
W632297842	Keith Edwards	315-52-2906	JTWROS
W636019770	Kim A. Lefever	316-64-4482	Regular IRA

FIG. 7

Investigo Corp.

• Check Deposit ledger for All for the Month ending 10/31/2000.

<u>Date Received</u>	<u>Account Number</u>	<u>Account Name</u>	<u>Amount</u>	<u>Deposit Date</u>	<u>Payable To</u>	<u>Represent</u>
10/1/2000	C017254-0D	Keith D. Class	-900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D. Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shirley Clem	-540	10/2/2000	Shirley Clem	3AX
10/2/2000	W636019127	Shirley Clem	-80	10/2/2000	Shirley Clem	3AX
10/2/2000	65099328	Mary Jo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65013634	Kelly M. LaVine	-10	10/2/2000	Kelly M. LaVine	3AX
10/2/2000	64955885	Patricia A. Vilches	-10	10/2/2000	Patricia A. Vilches	3AX
10/2/2000	64955885	Patricia A. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Mariano R. Vilches	-10	10/2/2000	Mariano R. Vilches	3AX
10/2/2000	65131336	Mariano R. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E. Neuok	-300	10/2/2000	Elizabeth E. Neuok	3BR
10/2/2000	64923194	Heather A. Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-350	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B. Sensenich	-400	10/2/2000	David B. Sensenich	3AX
10/2/2000	W636021952	Gary S. Hall	-350	10/2/2000	Gary S. Hall	3AX
10/2/2000	W638026435	Dorothy M. Neuenschwander	-1500	10/2/2000	Dorothy M. Neuenschwander	3AX
10/2/2000	W638030924	Alfred E. Boyer	-223.7	10/2/2000	Alfred E. Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Dolons McCormick	-200	10/2/2000	Dolons McCormick	3AX
10/2/2000	W632293328	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A. Oliver	1000.00	10/2/2000	Schroder & Co	EGT
10/2/2000	W632669420	Robert W. Schrupke	200000	10/2/2000	Schroder & Co	3AX
10/2/2000	W633292801	Mazie Welbaum	-249.36	10/2/2000	Mazie Welbaum	3AX

FIG. 8

T C d' ec' f'f' " O c' T d' T f' f' G

Investigo Corp.

File Edit View Favorites Tools Help
Back Forward Stop Refresh Home Search Favorites History Mail Print Go Links
Address: https://www.xisi.com/investigo/trade_blotter_1.asp?represent=All&Month=10/31&Year=2000

Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000							
Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	\$/UNS	Buy Price
10/1/2000	10/4/2000	Buy	W632293452	C017254-00	60327.84	Unsolicited	0
10/2/2000	10/5/2000	Buy	W632689420	ALAX	5603.604	Solicited	15.54
10/2/2000	10/5/2000	Buy	W632689420	DGSX	1689.708	Solicited	13.02
10/2/2000	10/5/2000	Buy	W632689420	RCVAX	1755.44	Solicited	17.08
10/2/2000	10/5/2000	Buy	W6326897689	LEIFX	0.194	Solicited	22.5
10/2/2000	10/5/2000	Buy	W632689826	RCVAX	51.317	Solicited	16.58
10/2/2000	10/5/2000	Buy	W632689855	RCVBX	11.881	Solicited	16.61
10/2/2000	10/5/2000	Buy	W632689893	RCVGX	7.324	Solicited	16.57
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Solicited	0.4375
10/2/2000	10/5/2000	Buy	W632498077	LEIEX	0.135	Solicited	22.5
10/2/2000	10/5/2000	Buy	QQQ		70	Solicited	68.5
10/2/2000	10/5/2000	Buy	W632498502	RCVGX	16.242	Solicited	16.57
10/2/2000	10/5/2000	Buy	W63041672	RCVGX	47.063	Solicited	16.57
10/2/2000	10/5/2000	Buy	W632367389	RCVBX	21.917	Solicited	16.61
10/2/2000	10/6/2000	Buy	W632689420	OPPAX	485.784	Solicited	69.99
10/2/2000	10/6/2000	Buy	W632356945	LEIFX	11.342	Solicited	22.5
10/2/2000	10/6/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58
10/2/2000	10/6/2000	Buy	W632312666	AMITX	3.706	Solicited	12.97
10/2/2000	10/6/2000	Buy	W632306858	NABIGX	13.93	Solicited	15.04
10/2/2000	10/6/2000	Buy	W632287412	LEIBX	0.292	Solicited	22.5
10/2/2000	10/6/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5
10/2/2000	10/6/2000	Buy	W632297107	KO	0.62	Solicited	54.937
10/2/2000	10/6/2000	Buy	W632295623	TDBBX	17.202	Solicited	8.79

FIG. 9

Investigo Corp.

• Daily Trade Tickets for the Period 10/1/2000 to 10/31/2000 for All.

Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	SATNS	Type	Prixe	Reprnt	Rep
10/2/2000	10/5/2000	Buy	W632669420	45168H105	2001.8200	Solicited	Cash -01	market	10.99	3AX
10/2/2000	10/5/2000	Sell	W632319364	RHAT	500	Unsolicted	Cash -01	mtt	17.116	3BR
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Unsolict'd	Cash -01	88.112	3BR	
10/2/2000	10/5/2000	Sell	W632319364	NQZ	600	Unsolict'd	Cash -01	mtt	7.116	3BR
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Unsolict'd	Cash -01	market	43.75	3AX
10/2/2000	10/5/2000	Sell	W632319364	TRCR	800	Unsolict'd	Cash -01	3.11/16	3BR	
10/2/2000	10/5/2000	Buy	W632669420	IAIAK	3603.6040	Solicited	Cash -01	market	15.54	3AX
10/2/2000	10/5/2000	Buy	W632669420	45168C337	1689.7080	Solicited	Cash -01	market	13.02	3AX
10/2/2000	10/5/2000	Buy	W632669420	OIGAX	419.8150	Solicited	Cash -01	0	23.82	3AX
10/2/2000	10/5/2000	Buy	W632669420	OPMSX	1635.2200	Unsolict'd	Cash -01	market	15.90	3AX
10/3/2000	10/6/2000	Buy	W632047672	ANWFX	2471.6500	Solicited	Cash -01	market	29.63	3AX
10/3/2000	10/6/2000	Buy	W632669420	AECIX	1580.8760	Solicited	Cash -01	market	39.48	3AX
10/3/2000	10/6/2000	Sell	W632047672	IVNIX	1707.1350	Solicited	Cash -01	market	36.48	3AX
10/3/2000	10/6/2000	Sell	W632047672	220714905	52745.70	Solicited	Cash -01	1	1	3AX
10/3/2000	10/6/2000	Buy	W632669420	RCYAX	1736.4400	Solicited	Cash -01	market	17.08	3AX
10/3/2000	10/6/2000	Buy	W632669420	OPPAX	482.7340	Solicited	Cash -01	market	69.99	3AX
10/3/2000	10/6/2000	Sell	W632047672	NEFDX	4232.7230	Solicited	Cash -01	market	17.10	3AX
10/3/2000	10/6/2000	Buy	W632020430	LJ	100	Unsolict'd	Cash -01	30.25	GTC	3AX
10/3/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolict'd	Cash -01	160	GTC	3AX
10/4/2000	10/7/2000	Sell	W632020435	FKINX	7834.9400	Solicited	Cash -01	market	2.31	3AX

Done

FIG. 10

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The screenshot shows a web browser window with the URL https://www.xisi.com/investigo/mail_merge/merge_beta.asp. The page title is "Mail Merge". A search bar at the top has "Symbol" and "Go" buttons, and a dropdown menu "Compliance -- Daily Account Number or Name:" with a "Lookup" button. The main content area is titled "Mail Merge" and contains the following sections:

- By Account Registration:**
 - Representative: 3BR
 - Account Type: 401(k)
 - Report Frequency: All
 - State of Residence: Minnesota
- By Investment Objective:**

<input type="checkbox"/> LT Capital Appreciation	Stocks	Don't Search
<input type="checkbox"/> Short Term Trading	Bonds	Don't Search
<input checked="" type="checkbox"/> Business Man's Risk	Options	Don't Search
<input type="checkbox"/> Income	Futures	Don't Search
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		
- By Personal Interests:**
 - Golf
 - Tennis
- By Holdings:**
 - Owns Mutual Funds
 - Owns Long Term Care Policies
 - Owns Life Insurance
 - Owns Variable Annuities

At the bottom left is a "Symbol" input field, and at the bottom center is a "Create Mail Merge" button.

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FIG. 11

FIG. 12

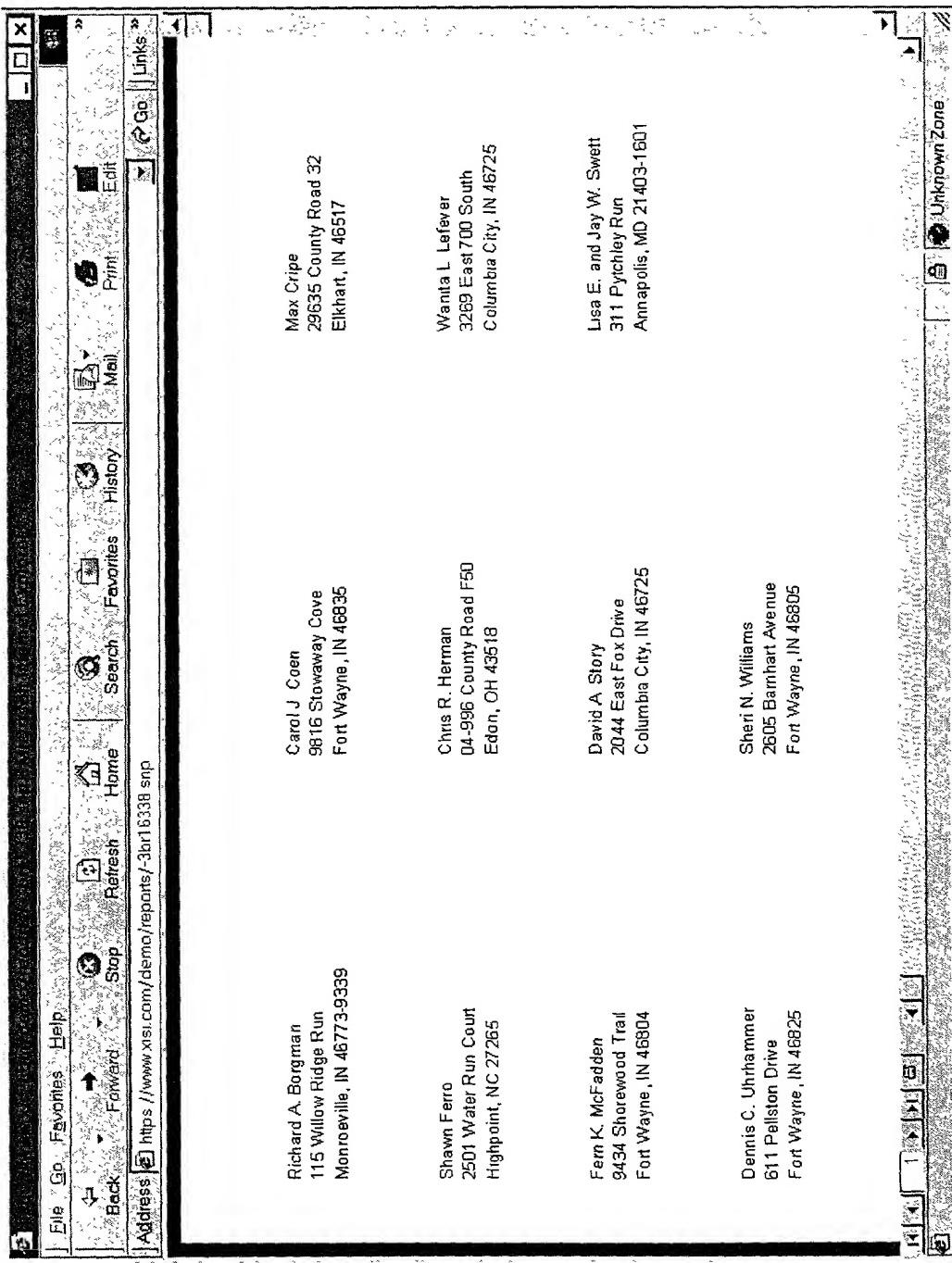
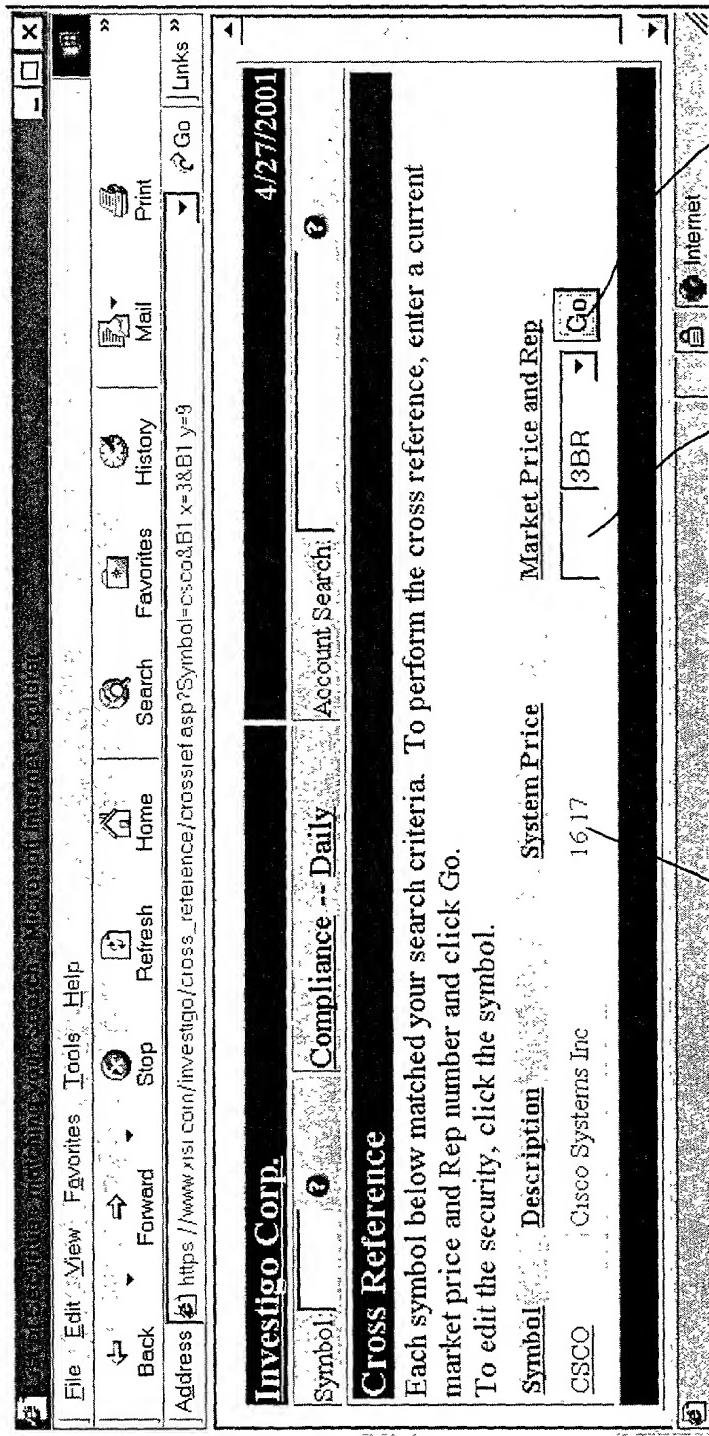


FIG. 12



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FIG. 13

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Investigo Corp. 4/27/2001

Symbol ? Compliance -- Daily Account Search ?

Cross Reference for Cisco Systems Inc.

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

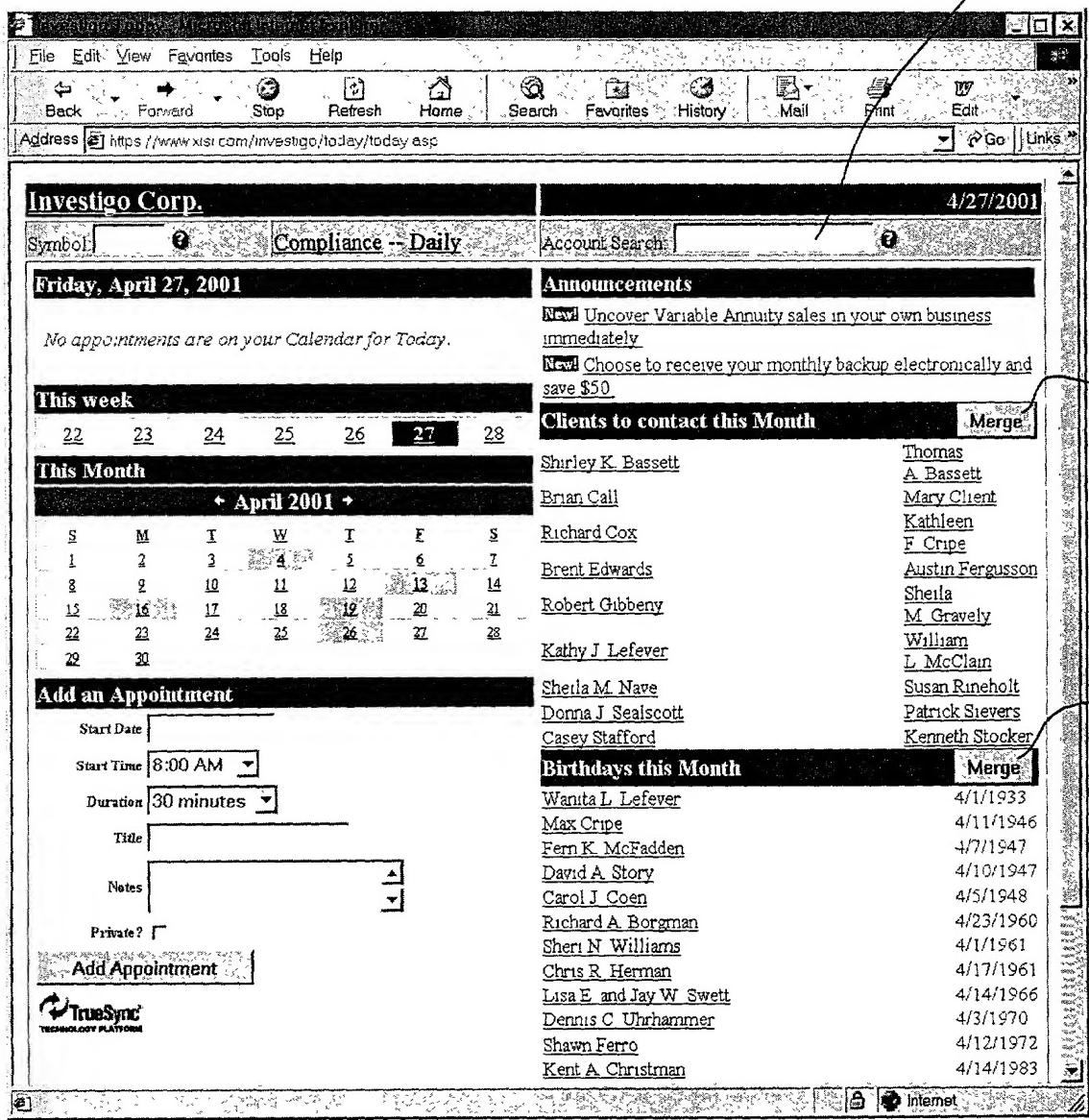
Cisco Systems Inc.-- (CSCO) at 16.17

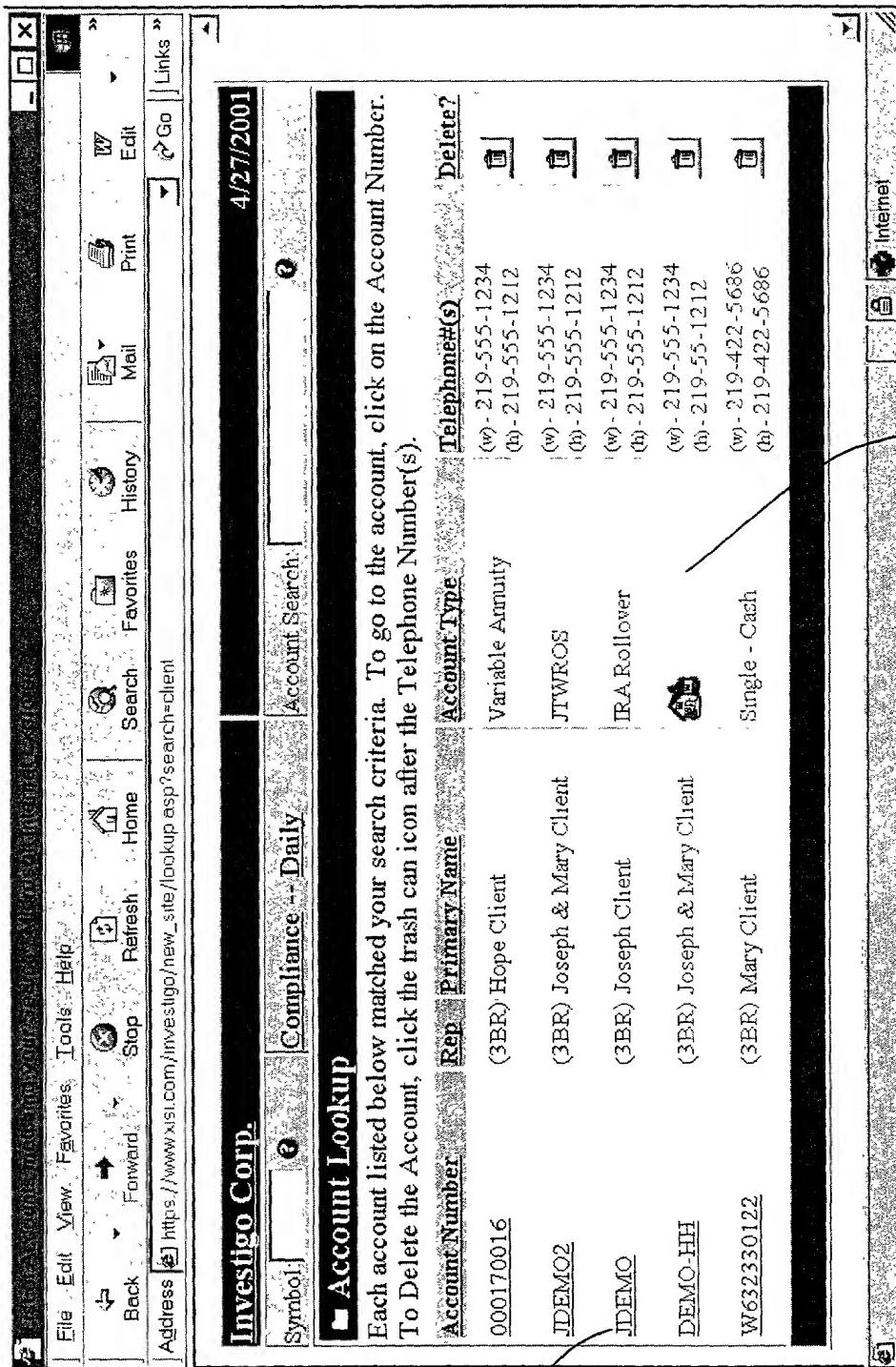
Mail Merge

Account Number	Last Name	Symbol	Shares	Open Date	Avg. Price	Total Cost	P/L	Contact #'s
W632297834	Boval	CSCO	100	7/12/1999	33 8135	\$3,381.35	(\$1,764.35)	W 219-825-9457 H 219-825-5520
W632298345	Edwards	CSCO	195	3/24/2000	69 8983	\$13,630.16	(\$10,477.01)	W 219-635-2496
W636098170	Felber	CSCO	100	1/5/2000	50 6402	\$5,064.02	(\$3,447.02)	W 800-392-0344-272 H 770-967-4053
W632297107	Kermen	CSCO	103	4/18/2000	68 1096	\$7,015.29	(\$5,349.70)	W 219-357-6557 H 219-357-5252
W632392841	Marques	CSCO	600	2/4/1999	29 6721	\$17,803.26	(\$8,101.26)	W 219-925-4939 H 219-837-6070
W632488060	Mason	CSCO	238	10/7/1999	47 0749	\$11,203.83	(\$7,355.37)	W 219-425-5792 H 219-497-0740
W632494886	McClain	CSCO	200	7/15/1999	33 3484	\$6,669.68	(\$3,435.68)	W 270-251-1263 H 270-554-4701
W632520656	Rienks	CSCO	110	7/21/1999	46 9199	\$5,161.08	(\$3,392.38)	W 270-251-1109 H 270-554-5384
W632645099	Silva	CSCO	20	3/23/2000	79 883	\$1,597.66	(\$1,274.26)	

Done Internet

FIG. 14





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4/27/2001

Investigo Corp.																																																																									
Symbol: <input type="text" value="JDEMO"/>	Compliance Daily Account Search																																																																								
Joseph Client -- IRA Rollover ~Tell Me about...																																																																									
<table border="1"> <tr> <td>Information</td> <td>Action</td> <td>Administration</td> </tr> <tr> <td>123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 <input checked="" type="checkbox"/> 219-555-1212 (H) <input checked="" type="checkbox"/> 219-555-1234 (W) <input checked="" type="checkbox"/> joe@investigo.net</td> <td> <input type="button" value="Appraisal"/> Go Date: 4/26/2001 <input type="button" value="Go"/> Trade: Buy <input type="button" value="Go"/> </td> <td> <input type="button" value="Edit Account Information"/> Go <input type="button" value="Edit"/> Go <input type="button" value="Open Transactions"/> Go <input type="button" value="Make a Cash Deposit"/> Go </td> </tr> </table>		Information	Action	Administration	123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 <input checked="" type="checkbox"/> 219-555-1212 (H) <input checked="" type="checkbox"/> 219-555-1234 (W) <input checked="" type="checkbox"/> joe@investigo.net	<input type="button" value="Appraisal"/> Go Date: 4/26/2001 <input type="button" value="Go"/> Trade: Buy <input type="button" value="Go"/>	<input type="button" value="Edit Account Information"/> Go <input type="button" value="Edit"/> Go <input type="button" value="Open Transactions"/> Go <input type="button" value="Make a Cash Deposit"/> Go																																																																		
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Holdings <table border="1"> <thead> <tr> <th>Quantity</th> <th>Symbol</th> <th>Date Open</th> <th>Unit Price</th> <th>Net Cost</th> <th>Market Price</th> <th>Market Value</th> <th>Gain/Loss</th> </tr> </thead> <tbody> <tr> <td>1644.196</td> <td>AGTHX</td> <td>1/2/2001</td> <td>30.410</td> <td>\$50,000.00</td> <td>24.53</td> <td>\$40,332.13</td> <td>(\$9,667.87)</td> </tr> <tr> <td>3445.256</td> <td>AMUSX</td> <td>3/10/1999</td> <td>12.539</td> <td>\$43,200.00</td> <td>13.18</td> <td>\$45,408.49</td> <td>\$2,208.49</td> </tr> <tr> <td>3267.403</td> <td>ANEFX</td> <td>4/8/1999</td> <td>22.954</td> <td>\$75,000.00</td> <td>20.43</td> <td>\$66,753.04</td> <td>(\$8,246.96)</td> </tr> <tr> <td>2315.196</td> <td>ANWPX</td> <td>5/17/1999</td> <td>24.058</td> <td>\$55,700.00</td> <td>23.27</td> <td>\$53,874.62</td> <td>(\$1,825.38)</td> </tr> <tr> <td>1834.733</td> <td>AWSHX</td> <td>3/15/1999</td> <td>24.594</td> <td>\$45,124.02</td> <td>28.97</td> <td>\$53,152.24</td> <td>\$8,028.22</td> </tr> <tr> <td>1111.652</td> <td>MSIGX</td> <td>3/10/1999</td> <td>38.861</td> <td>\$43,200.00</td> <td>33.9</td> <td>\$37,685.00</td> <td>(\$5,515.00)</td> </tr> <tr> <td>2335.793</td> <td>PIVAX</td> <td>4/30/1999</td> <td>32.109</td> <td>\$75,000.00</td> <td>29.27</td> <td>\$68,368.67</td> <td>(\$6,631.33)</td> </tr> <tr> <td>394.22</td> <td>STIF</td> <td>6/30/2000</td> <td>1.000</td> <td>\$394.22</td> <td>1</td> <td>\$394.22</td> <td>\$0.00</td> </tr> </tbody> </table>		Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss	1644.196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)	3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49	3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)	2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)	1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22	1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)	2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)	394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00
Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss																																																																		
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1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)																																																																		
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)																																																																		
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00																																																																		
Total Equity: \$365,968.36																																																																									
<table border="1"> <tr> <td>Objectives</td> <td>Personal</td> <td>Contact History</td> </tr> <tr> <td> Long Term Cap App <input checked="" type="checkbox"/> Short Term Trading Business Man's Risk Income Safety of Principal Tax-Exempt Income </td> <td> SSN# <input type="text" value="123-45-6789"/> Birthday <input type="text" value="12/31/1940"/> Employer <input type="text" value="GTE"/> Occupation <input type="text" value="Technician"/> Net Worth <input type="text" value="500K+"/> Liquid Net Worth <input type="text" value="500K+"/> </td> <td> Date <input type="text" value="4/27/2001"/> Type <input type="button" value="Telephone"/> Notes Create New <input type="button" value="Go"/> 4/26/2001 <input type="button" value="Telephone"/> Spoke with Joe regarding View JDEMO's Contact History </td> </tr> </table>		Objectives	Personal	Contact History	Long Term Cap App <input checked="" type="checkbox"/> Short Term Trading Business Man's Risk Income Safety of Principal Tax-Exempt Income	SSN# <input type="text" value="123-45-6789"/> Birthday <input type="text" value="12/31/1940"/> Employer <input type="text" value="GTE"/> Occupation <input type="text" value="Technician"/> Net Worth <input type="text" value="500K+"/> Liquid Net Worth <input type="text" value="500K+"/>	Date <input type="text" value="4/27/2001"/> Type <input type="button" value="Telephone"/> Notes Create New <input type="button" value="Go"/> 4/26/2001 <input type="button" value="Telephone"/> Spoke with Joe regarding View JDEMO's Contact History																																																																		
Objectives	Personal	Contact History																																																																							
Long Term Cap App <input checked="" type="checkbox"/> Short Term Trading Business Man's Risk Income Safety of Principal Tax-Exempt Income	SSN# <input type="text" value="123-45-6789"/> Birthday <input type="text" value="12/31/1940"/> Employer <input type="text" value="GTE"/> Occupation <input type="text" value="Technician"/> Net Worth <input type="text" value="500K+"/> Liquid Net Worth <input type="text" value="500K+"/>	Date <input type="text" value="4/27/2001"/> Type <input type="button" value="Telephone"/> Notes Create New <input type="button" value="Go"/> 4/26/2001 <input type="button" value="Telephone"/> Spoke with Joe regarding View JDEMO's Contact History																																																																							

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FIG. 17

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Address: https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO

Investigo Corp.		4/27/2001					
Symbol: <input type="text"/> JDEMO	Compliance -- Daily Joseph Client-- IRA Rollover ~Tell Me about...						
Information	Action	Administration					
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 219-555-1212 (H) 219-555-1234 (W) joe@investigo.net	<input type="button" value="Realized G/L"/> <input type="button" value="Appraisal"/> <input type="button" value="Appraisal Graph"/> <input type="button" value="Asset Allocation"/> <input type="button" value="Asset Alloc. Graph"/> <input type="button" value="Realized G/L"/> <input type="button" value="Performance"/>	<input type="button" value="Edit Account Information"/> <input type="button" value="Edit"/> <input type="button" value="Open Transactions"/> <input type="button" value="Make a Cash Deposit"/>	<input type="button" value="Go"/> <input type="button" value="Go"/> <input type="button" value="Go"/> <input type="button" value="Go"/> <input type="button" value="Go"/>				
Holdings							
Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644 196	<u>AGTHX</u>	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445 256	<u>AMUSX</u>	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267 403	<u>ANEFX</u>	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315 196	<u>ANWPX</u>	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834 733	<u>AWSHX</u>	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111 652	<u>MSIGX</u>	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335 793	<u>PIVAX</u>	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394 22	<u>STIF</u>	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00
Total Equity: \$365,968.36							
Objectives	Personal	Contact History					
Long Term Cap App ✓ Short Term Trading Business Man's Risk Income Safety of Principal Tax-Exempt Income	SSN# <input type="text"/> 123-45- 6789 Birthday <input type="text"/> 12/31/1940 Employer <input type="text"/> GTE Occupation <input type="text"/> Technician Net Worth <input type="text"/> 500K + Liquid Net <input type="text"/> 500K +	Date 4/27/2001 4/26/2001	Type Telephone  	Notes Create New <input type="button" value="Go"/> Spoke with Joe regarding			
View JDEMO's Contact History							

FIG. 18

FIG. 19

The screenshot shows a web browser window with the following details:

- Address Bar:** https://www.xisi.com/demo/reports/report.rpt2735.snp
- Toolbar:** Back, Forward, Stop, Refresh, Home, Search, Favorites, Print, Mail, History, Favorites, Print, Mail, History, Discuss, Messenger, Edit, Go, Links.
- Page Content:**
 - Header:** Joseph Client
123 West Main Street
Fort Wayne, IN 46804
 - Text:** Account No. JDEMO
IRA Rollover
Tax ID: 123-45-6788
Page 1 of 1
 - Title:** Realized Gains and Losses From 1/1/2000 To 4/26/2001
 - Table:** A table showing realized gains and losses for the period from 1/1/2000 to 4/26/2001. The table includes columns for Date Bought, Unit Price, Net Cost, Date Sold, Unit Price, Proceeds, Short Term Profit, Short Term Loss, Long Term Profit, and Long Term Loss. The table has two data rows and two summary rows (TOTALS and NET).

Quantity	Date Bought	Unit Price	Net Cost	Date Sold	Unit Price	Proceeds	Short Term Profit	Short Term Loss	Long Term Profit	Long Term Loss
AVSHX American-Washington Mutual Inv A	1007.388 03/15/1999	34.9600	35218.28	04/03/2000	29.7800	30000.00	0.00	0.00	0.00	-5218.28
	1677.852 03/15/1999	34.9600	58657.70	05/23/2000	29.8000	50000.00	0.00	0.00	0.00	-8637.70
TOTALS						80000.00	0.00	0.00	0.00	-13875.98
NET:						0.00				-13875.98

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Investigo Corp.						
Edit		View		Favorites	Tools	Help
<input type="button" value="Back"/>	<input type="button" value="Forward"/>	<input type="button" value="Stop"/>	<input type="button" value="Refresh"/>	<input type="button" value="Home"/>	<input type="button" value="Search"/>	<input type="button" value="Favorites"/>
<input type="button" value="History"/>	<input type="button" value="Print"/>	<input type="button" value="Mail"/>	<input type="button" value="Discuss"/>	<input type="button" value="? Go"/>	<input type="button" value="Links"/>	<input type="button" value=">"/>
Symbol: <input type="text" value=""/>						
Information: <input checked="" type="checkbox" value="JDemo"/> JDemo <input type="button" value="Edit"/>						
Address: <input type="text" value="https://www.xist.com/investigo/newsite/screen.asp?AccountNo=JDemo"/>						
Compliance - Daily: <input type="button" value="Account Search"/>						
Joseph Client - IRA Rollover ~ Tell Me about...:						
<input type="button" value="Administration"/>						
123 West Main Street <input type="button" value="Appraisal"/>						
P.O. Box 12345 <input type="button" value="Go"/>						
Fort Wayne, IN 46804 <input type="button" value="Date: 4/26/2001"/>						
Trade: <input type="button" value="Buy"/>						
Buy <input type="button" value="Go"/>						
Cover <input type="button" value="Go"/>						
Sell <input type="button" value="Go"/>						
Sell Short <input type="button" value="Go"/>						
Holdings:						
Quantity	Symbol	Date Created	Sell Covid	Net Cost	Market Price	Market Value
1644 196	AGTHX	1/2/2001		30 410	\$50,000.00	24,531
3445 256	AMUSX	3/10/1999		12 539	\$43,200.00	13 18
3267 403	ANERFX	4/8/1999		22 924	\$75,000.00	20 43
2315 196	ANWPX	5/17/1999		24 058	\$55,700.00	23 27
1834 733	AWSHX	3/15/1999		24 594	\$45,124.02	28 97
1111 652	MMSGX	3/10/1999		38 861	\$43,200.00	33 9
2235 793	PIVAX	4/30/1999		32 109	\$75,000.00	29 27
3204 22	STIF	6/30/2000		1 000	\$394.22	1
Total Equity: \$365,968.36						
Objectives: <input checked="" type="checkbox" value="Personal"/>						
Contact History:						
<input checked="" type="checkbox" value="Long Term Capital Gains"/>						
<input checked="" type="checkbox" value="Short Term Trading"/>						
<input checked="" type="checkbox" value="Business/Marital Assets"/>						
<input checked="" type="checkbox" value="Done"/>						
Notes:						
<input type="button" value="Type"/>						
<input type="button" value="Date"/>						
<input type="button" value="Telephone"/>						
<input type="button" value="Create New"/>						
<input type="button" value="Go"/>						
<input checked="" type="checkbox" value="Internet"/>						

FIG. 20

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xist.com/investigo/posting/orderdesk.asp?Action=Buy&B1=Go&repid=4%2F27%2F200 ▶ ↗ Go Links »

Investigo Corp. 4/27/2001

Symbol: Compliance- Daily Account Number or Name:

Trade Entry JDDEMO Joseph Client- IRA Rollover

Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	Ibm
Price	\$33.00	Solicitation Status	Solicited
Commission	600	Location of Shares	Long
Fees and/or charges	\$65.00	Rewinvest	None or N/A
Sales charge	0	For Mutual Funds	
Cost or Proceeds Override		Overrides automatic calculation	
Order Entered By	3hr	Recommended to client	
Notes			

Internet

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FIG. 21

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Print Mail

Address: lessChange=0&Totals=&order_enternr=3b7¬es=Recommended-to+client&Submit=Confirm+This+Trade >

Investigo Corp.

Symbol: Compliance: Daily Go

JDEMO Joseph Client - IRA Rollover

Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	INTERNATIONAL BUSINESS MACHINES COR (IBM)
Price	33	Status	Solicited
Commission	\$600.00	Location of Shares	Long
Fees and/or charges	\$65.00	Solicitation	Reinvest
Sales charge	0		None
Total Fees	\$665.00		
Total Cost	\$33,665.00		
Order Entered By	3br		
Notes	Recommended to client		

Execute this Buy Order / Done Internet

FIG. 22

FIG. 23

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Links

Address

Investigo Corp.

Symbol: Compliance - Daily Account Search: 4/27/2001

Information Action

123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 219-555-1212 (F) 219-555-1234 (W) joe@investigo.net	Appraisal Date: <input type="text" value="4/26/2001"/> Go	Edit Account Information Go
	Trade: Buy Go	Open Transactions Go
		Make a Stock Deposit Go
		Cash Deposit
		Withdrawal
		Stock Deposit
		Reinvest Option Go

Holdings

Quantity	Symbol	Date Open	Unit Price	Market Value	Gain/Loss
1644.196	<u>AGTHX</u>	1/2/2001	30.410	\$40,332.13	(\$9,667.87)
3445.256	<u>AMUSX</u>	3/10/1999	12.539	\$45,408.49	\$2,208.49
3267.403	<u>ANEFX</u>	4/8/1999	22.954	\$66,753.04	(\$8,246.96)
2315.196	<u>ANWPX</u>	5/17/1999	24.058	\$55,700.00	23.27
1834.733	<u>AWSHX</u>	3/15/1999	24.594	\$45,124.02	28.97
1111.652	<u>MSIGX</u>	3/10/1999	38.861	\$63,200.00	33.9
2335.793	<u>PVAX</u>	4/30/1999	32.109	\$75,000.00	29.27
394.22	<u>STIF</u>	6/30/2000	1.000	\$394.22	1

Dates Internet

FIG. 24

The screenshot shows a web browser window with the following details:

- Address Bar:** https://www.xist.com/investigo/stock_power.asp?AccountNo=JDEMO
- Toolbar:** Back, Forward, Stop, Refresh, Home, Search, Favorites, History, Mail, Print, Edit.
- Form Fields (Stock Power Entry Form):**
 - Symbol: Go
 - Compliance: Daily Account Number or Name:
 - Date of Entry: 4/27/2001
 - Receiving Information:**
 - Account Number: JDEMO
 - Date of Entry: 4/27/2001
 - Security Information:**
 - Number of shares: 15
 - Symbol: IBM
 - Stock type: Common
 - Certificate number(s): 1233293
 - Buttons:** Generate Stock Power, Done, Internet.

IRREVOCABLE STOCK OR BOND POWER

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789
 123 West Main Street
 Fort Wayne, IN 46804

If Stock, Complete This Portion 15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)
 (represented by Certificate(s) No(s) 12232293 inclusive,
 (Standing in the name of the undersigned on the books of said Company.

If Bonds, Complete This Portion _____ bonds of _____
 (in the principal amount of \$ _____ No(s) _____ inclusive,
 (standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint _____ attorney to transfer the said stock or bond(s), as the case may be, on the books of said Company, with full power of substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY
 The signature(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member or member organization of the New York

 Joseph Client

SIGNATURE GUARANTEED

Done Internet

FIG. 25

Investigo Corp.

4/27/2001

Trade ID	Buy Date	Symbol	Shares	Buy Price	Buy Cost	Delete?
Q_128295	4/8/1999	ANEFX	<u>2910.361</u>	25.77	\$75,000.00	
Q_128262	6/18/1999	ANEFX	<u>4.498</u>	25.88	\$0.00	
Q_128272	12/14/1999	ANEFX	<u>352.544</u>	27.45	\$0.00	

Internet

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail

Address: https://www.xsi.com/investigo/posting/edit/trans_spec.asp?AccountNo=JDEMO&Type=0 ▶ ↗ Go Links »

Compliance: Daily

Symbol: ⓘ

Account Number or Name: ⓘ

Specific Trades for ANEFX, American-New Economy Fund

Here are the Open trades for JDEMO. To edit the trade, click on the trade ID.

To Sell a Specific Position, Click on the Share Amount.

To delete a trade, click on the trash can icon.

To edit ANEFX's database entry, click here.

FIG. 26

Correspondence History for JDemo			
Date	Type	Enterer	Notes
4/26/2001	Call	Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.
4/11/2001	E-Mail	Joe	Met with Joe and discussed his account. Check back in 3 months.
2/21/2001	E-Mail	Joe	Sent him an appraisal and a realized g/l statement for

FIG. 27

FIG. 28

